SAWS OVERSIGHT PROCESSES BINDER
RECORD OF CHANGE LOG – SECTION 7

SECTION NAME: Deliverable Review Process
RESPONSIBLE PARTY: Arlene Mendibles – Lead Analyst
BRIEF DESCRIPTION OF SECTION: The Deliverable review process is designed to help the state develop an independent perspective on project progress, requirements growth and stability, product quality and technical adequacy as it pertains to the SAWS strategy. This section contains the process for reviewing consortium deliverables, recording the results of the reviews, and the deliverables that will be reviewed.

CHANGE LOG

DATE	CHANGE DESCRIPTION/LOCATION	INITIALS

HHSDC
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CONSORTIA DELIVERABLE REVIEW

Background

One of the processes and procedures that is currently maintained by SAWS oversight includes the SAWS Deliverable Review process. The Deliverable Review process is designed to help the State develop an independent perspective on project progress, requirements growth and stability, product quality, and technical adequacy as it pertains to the SAWS strategy.

Under the direction of the SAWS oversight staff, deliverable reviews will be performed by:

- SAWS oversight staff
- Independent consultants hired by HHSDC, and
- The California Department of Social Services (CDSS), the California Department of Health Services (CDHS), the Department of Information Technology (DOIT) and the Department of Finance.

Deliverable Review Process

SAWS oversight staff will be responsible for assisting the other State departments in facilitating the deliverable review process, consolidating their comments, entering them into the deliverable comment database, and providing the results to the consortia, as appropriate.

Since the purpose for deliverable review as outlined above is to support State oversight objectives, incorporation of SAWS oversight input, if any, will not be a prerequisite for consortium approval of contractor provided deliverables.

SAWS oversight review will, however, take place concurrent with the consortium review, to the degree feasible. SAWS oversight will work with each consortium to develop a mutually agreeable process for transmitting and responding to any important issues that arise out of the oversight review.

In addition, each consortium will work with the SAWS oversight to develop a mutually agreeable approach for notifying SAWS oversight and accommodating their attendance at selected presentations, Joint Requirements Planning (JRP), or equivalent sessions, walk-throughs, demonstrations and similar activities, to the extent not covered by the deliverable review process as described above. For example, the CalWIN Consortium liaison is given broad discretion to select and review project deliverable or attend project meetings.

Deliverables to be Reviewed

Given the responsibilities of consortium level Independent Verification and

Validation (IV&V) and quality assurance (QA) contractors, SAWS oversight is not required to review all consortium deliverables. Therefore, SAWS oversight staff will review deliverables that pertain to, or potentially impact the SAWS strategy. Currently, SAWS oversight review will focus upon the following types of deliverables:

- All planning deliverables (e.g., Project Control Documents (PCD), PCD updates, MSProject files, Deliverable Expectation Documents)
- Written project status reports from the implementation prime contractor and the QA and IV&V contractors
- Selected components of major deliverables generated by the system design and development process including all deliverables related to technical capacity and performance, and
- Project deliverable review results, as prepared by the consortia
- All deliverables produced by State and local-level IV&V and QA staff

Independent consultants retained by HHSDC will review the following types of deliverables:

- Technical architecture deliverables, performance modeling and benchmark results and any other contractor work products bearing upon the issues of technical adequacy
- Functional specifications, design documentation (general and detail), test plans and results, and
- Source code

SAWS oversight staff will work with the DOIT, the DOF, the CDSS and the CDHS and each consortium to develop a list of specific deliverables to be reviewed by the State departments. A sample of the deliverables subject to State review appears below. This sample identifies the CalWIN project deliverables that will be reviewed by State oversight staff.

HHSDC	DOIT	DHS	Deliverable
X X	 X	X	Validation of Functional and Technical Requirements • Data Usage Analysis Report • Technology and Environmental Requirements Report
X X X X	X X X X	 X	General System Design • Data Storage and Access Requirements • Hardware and Software Requirements • Proof of Concept Demonstration • Application Registration Prototype
X	X	X	Detailed System Design • Telecommunications Design Document
X X	X X	X	Infrastructure Development • Change Management Procedures • Software Distribution Procedures & Requirements
			Conduct System Test

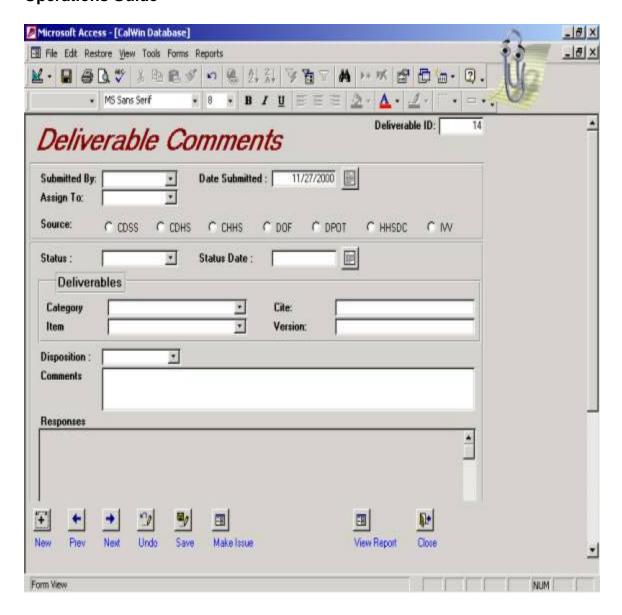| HHSDC	DOIT	DHS	Deliverable
X	X	X	• System Test Cases, Situations, Data, Acceptance Criteria
X	X		• Certification of Readiness for Acceptance Test
X	X		Transition Plan
X	X		BackUp, Recovery, and Hot Site Plan
			User Acceptance Test
X		X	• Test Condition List
X	X		• Final User Acceptance Test Report
X	X		• Pilot County Readiness Report
			Pilot Test
X	X	X	• Pilot Test Plan
X	X	X	• Pilot County Conversion Report
X	X	X	• Pilot Test Evaluation Report
			Training
X		X	• Training Plan
X		X	• User Manual and Support Training Aids
			Conversion
X	X	X	• Specification Document
X	X		• Conversion Plans
			Implementation/FM&O Planning
X	X	X	• Facilities Management & Operations Plan
X		X	• Network Management & Central Help Desk Procedures
X	X		• BackUp & Recovery Plan
X	X		• Disaster Recovery Plan
X	X	X	• Issue Resolution Procedures

Deliverable Comments Database

A database with automated forms and reporting has been developed to assist in documenting and tracking State stakeholders, V&V vendors and SAWS oversight comments on the consortium deliverables. The deliverable comments database is closely tied to the Issues Tracking database and shares similar procedures. The following processes govern the deliverable comments database:

• State oversight staff for LEADER, CalWIN, ISAWS and C-IV use the same database to record deliverable issues
• The database is also used to track consortium issues
• All menu fields have a form that can be used by the user to add new items
• A standard reporting form was created to allow a user to select which elements to print on the report and the sort order
• The databases reside on the common drive under the consortia name (e.g., h:\CPU\(name of consortium (e.g., WCDS))\Data Base)
• Fields within the database will include the following:
    • ID - A unique, system generated, ID number

- Deliverable - Identifies the deliverable or sub-deliverable
- Cite - Cites specific location of text within the deliverable
- Version - Provides the version number of the deliverable
- Disposition – Open, Pending, Closed, etc.
- Comments - Provides for entry of multiple resolutions for audit trail
- Response – Identifies how the deliverable was addressed
- Source - Identifies the source of the comment (agency). This field includes IV&V so that SAWS can record the results of both the consortia and HHSDC IV&V vendors
- Name - Name of the person who submitted the comment
- Person - Name of the person assigned to resolve the comment
- If a deliverable comment becomes an issue, there is a button on the screen which will automatically generate an entry in the Issues Tracking database. Use of this automated process will result in the automatic entry of the appropriate information on the Issue form and a cross reference to the deliverable comment ID
- When an issue has been created, the deliverable comment screen will carry the issue ID number. If someone tries to create a second issue a warning will occur to let the user know an issue has already been created and the issue ID – a second issue can be created
- If the deliverable comment generated an issue a message will be displayed at the top of the form that "Issue Tracking Log Exists"
- Reports can be generated using the information that appears on any screen

Attached is the screen print for the automated Deliverable Comment form. There are additional detail screens, but this is the primary form that is used to record, track and close a deliverable issue.

Mechanisms for Maintaining Process and Procedures

The SAWS Project will maintain the deliverable comment process. The SAWS liaisons and project management periodically review these documented processes to propose ways in which to improve the efficiency and accuracy of the existing process. Upon acceptance of a proposed change, the process documentation is updated and the new processing employed.

Updates to the deliverable comment process are communicated directly to the SAWS oversight team. Manner of communication has included general discussions at the monthly SAWS Oversight Unit meetings, e-mail or hard copy memos.

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The SAWS oversight team has also developed an approach to ensure staff familiarity with the deliverable comment database.

A User Guide has been developed by the SAWS Technical Support team to provide SAWS oversight staff with initial and ongoing training. The guide includes a general description of the database, descriptions and definitions of each field, how to enter the data, how to add an item to a drop down menu for all fields, and how to "delete" a field or record. While there is a delete function for fields and records, it only removes data from the user view. All deleted information remains in the database tables. Arlene Mendibles and a member of the SAWS technical support team will provide initial training, if needed. Ongoing training will be done one-on-one by a member of the SAWS Oversight Unit.

The guide will also include a section on reports. This section describes how to generate a report, how to use the form to create a report with the appropriate criteria and how to sort criteria.

Subsequent changes to the deliverable comment database will generate an update to the User Guide.

Changes to the database will be initiated by SAWS oversight staff and executed by SAWS technical support using standard change management methodology. Once all of the users agree a change should occur (new data element, new report structure) a request will be sent to the technical support manager via e-mail. The request will include a description of the change, a primary and secondary contact, a due date for the change, and the reason for the change. The manager will assign the request to the appropriate staff person and the SAWS oversight contact will work with technical support to answer questions, identify criteria, etc.

When the change has been completed, tested, and the User Guide updated technical support will notify SAWS oversight via e-mail that the requested change is in production.